

DEPARTMENT OF HEALTH SERVICES

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(916) 657-1460



June 11, 1996

PPL No. 96-010

All County Medi-Cal Administrative Activities/
Targeted Case Management Coordinators
Advisory Committee Members

RECORD RETENTION REQUIREMENTS

This letter will remind local governmental agencies (LGA) of the record retention requirements for local governmental agencies (LGA) participating in the Medi-Cal Administrative Activities (MAA) and Targeted Case Management (TCM) programs. The record retention requirements are contained in the MAA Contract, under Article III, Section G, and in the TCM Provider Participation Agreement, under Article III, Section G.

The LGA shall retain records supporting MAA activities or TCM services for a minimum of three (3) years after the end of the quarter in which the LGA incurred the expenditures. If an audit is in progress, records relevant to the audit shall be retained by the LGA until the completion of the audit or the final resolution of all audit exceptions, deferrals and/or disallowances.

MAA records must fully disclose the type and extent of administrative activities performed by appropriate staff. MAA records include, but are not limited to, organizational charts, claiming plans, supporting documentation for each claiming unit, time survey documentation, MAA Detailed and Summary Invoice, contracts between the LGA, LGA subcontractors, and other public entities.

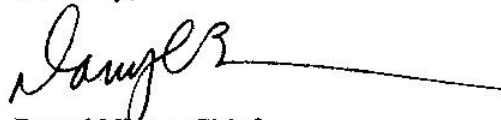
TCM records must fully disclose (1) the name and the beneficiary identification code of the person receiving the TCM service, (2) the name of the provider agency and person providing the service, (3) the date and place of service delivery, and (4) the nature and extent of the TCM service provided. TCM records include, but are not limited to, supporting documentation for the annual cost report and the TCM Summary Invoice, time survey documentation, and encounter logs.

All MAA and TCM records retained by the LGA must be in a reviewable form, in an audit file by program and available to the State and federal government upon request in accordance with the record retention requirements set forth under 42 Code of Federal Regulations (CFR), Section 433.32.

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If you have any questions regarding this policy, please contact the Patient Access Unit
program analyst assigned to your county.

Sincerely,

A handwritten signature in black ink, appearing to read "Darryl Nixon", followed by a long horizontal line extending to the right.

Darryl Nixon, Chief
Medi-Cal Benefits Branch

Enclosures

cc: Cathleen Gentry
Host County Liaison
455 Pine Avenue
Half Moon Bay, CA 94019

Medi-Cal Administrative Activities:	X
Targeted Case Management:	X
Policy Effective Date:	7/1/95
Policy Reference:	42 CFR Section 433.32